PCOLS Data Mining/Risk Assessment Quick Reference to Case Disposition

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Abstract   This document describes how to disposition (close) a case in Data Mining.

Document Date   July 11, 2011

Document Version   1.0

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1. Overview

This document describes at a high level how the A/BO is to disposition a case in the Data Mining/Risk Assessment (DM/RA) Application. This document is an abbreviated version of the sections of the user guide that describes in detail how an A/BO should approach the dispositioning of a DM/RA flagged transaction.

Also, this document describes the process of how an A/OPC performs an Independent Review.

2. Background

The Data Mining/Risk Assessment Application receives Government Purchase Card (GPC) transactions from the bank. These transactions are scored using the Risk Predictive Model (RPM). The model flags about four percent (4%) of all transactions for review. Of the four percent, three percent (3%) are flagged due to risk and one percent (1%) is flagged at random. Flagged transactions are required to be dispositioned by the A/BO. The A/BO receives an email notification from Data Mining/Risk Assessment that contains information regarding the transaction and a link to the case.

Also, there are high risk transactions. These transactions score 900 and above by the RPM. High risk transactions require an Independent Review by the A/OPC. A separate email from Data Mining/Risk Assessment is sent specifically to the A/OPC for high risk transactions. This email contains transaction information and a link to the case.

The DM/RA Application does have an escalation process for the completion of flagged transactions. The escalation schedule that is followed can be view at the Defense Acquisition University (DAU) web site. Also, this is the site where the DM/RA User Manual can be found. Additionally, the DM/RA Job Aid and Webinar Schedule can be found at this site.

The URL for the DAU site is as follows:

https://acc.dau.mil/CommunityBrowser.aspx?id=402136&lang=en-US

3. Logon to Data Mining

Email URL:

Click on the link in the email that was received from DM/RA
PCOLS_noreply@dmdc.osd.mil.

Sign on & Referral System (SRS – Single Sign on):

Enter the following URL in your browser:
https://pki.dmdc.osd.mil/appj/pcols-web/

Click on the CAC log on. Enter CAC PIN.
The following SRS screen will appear:

Click on the "Log on" button in the Data Mining/Risk Assessment (DM/RA) frame.

OR

Click on the Case Number under "Recent At-Risk Notifications". The case number is obtained from the email notification.

4. Select Data Mining Role

DM/RA displays the following screen when one logs on.

A role must be selected prior to any other action with DM/RA. Most users will have only one or very few roles to choose from.

Determine the appropriate role and click on the select button next to that role. Once the role has been selected, one will notice that the Welcome text now includes both ones name and role.

5. New Cases

Once a role has been selected, DM/RA displays the Case Statistics screen that corresponds to the selected role. Only transactions that an individual has been assigned are displayed. From this screen, click on the number (hyperlink) under the NEW column. This will take one to all of the new cases (flagged transactions).
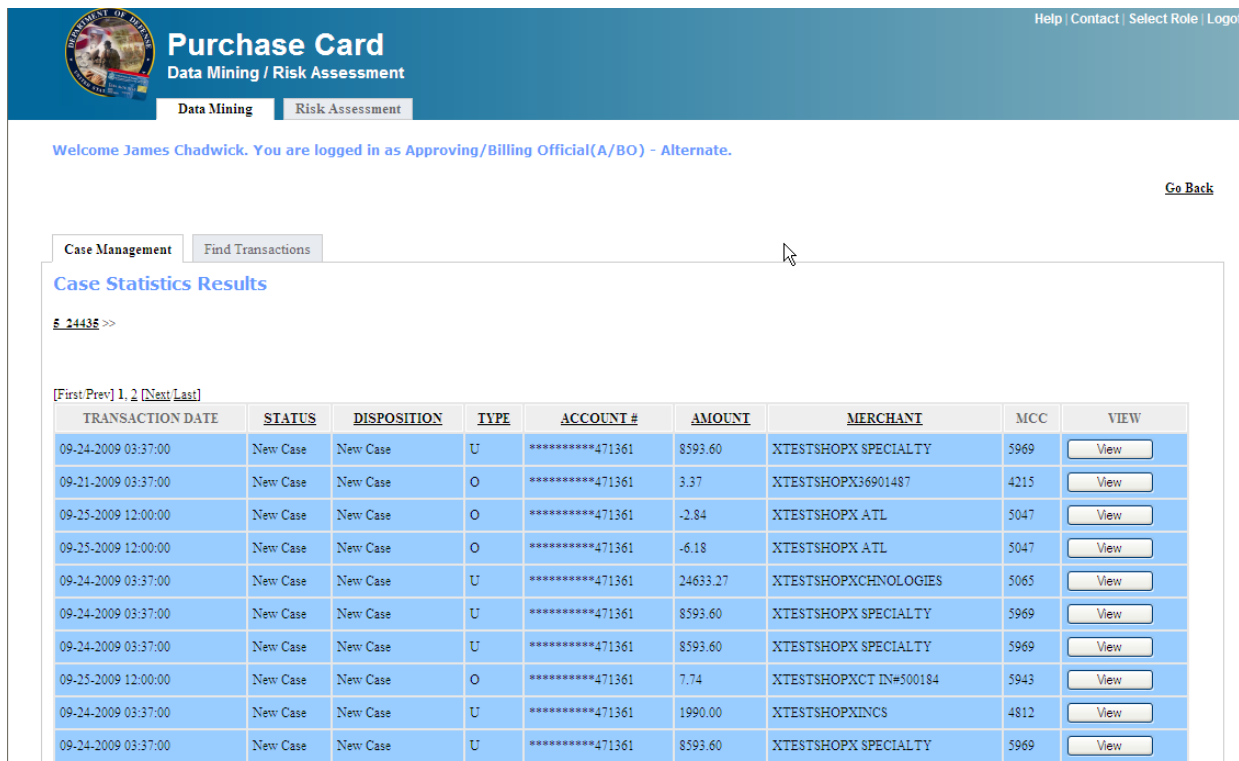
6. Case Selection

DM/RA Case Manager displays the Case Statistics Results screen. Identify the case that is to be dispositioned and click on the view button. This will take one to the case details. Note that only ten transactions per screen are displayed. If the desired transaction is not on the first screen, use the page navigation buttons on the left side of the screen, just above the transactions.

7. Case Details – Interview Process

DM/RA Case Manager displays the Case Details screen. This is the screen where the A/BO completes the case disposition. The details of the case are displayed, the Action History, the interview questions, and the Case Disposition. The following screen shows a typical transaction that is ready to be dispositioned.

Transaction Information

Account Number:	*********471361	Managing Account Number:	*********836453
Transaction Date:	Mon Sep 21 2009 03:37:00	Transaction Type:	O
Transaction Amount:	$ 3.37	Case Opened Date:	Mon Nov 08 2010 12:07:45
Merchant Name:	XTESTSHOPX36901487 800-4633339 , TN , 000000000 840	Last Updated Date:	Mon Nov 08 2010 12:07:45
MCC:	4215 (COURIER SERVICES)	Last Action:	New Case

Action History

DATE	TYPE	DISPOSITION	RECOMMENDED ACTION	A/OPC NOTIFIED	REFERRED TO DOD ORGANIZATION	COMMENTS	USER

Describe Product or Service Acquired

Was a convenience check used for this purchase?   ○ Yes   ◉ No

Was the card compromised, lost or stolen?   ○ Yes   ○ No

Is this a payment on contract or delivery/task order?   ○ Yes   ○ No

Case Review

1. Was the item/service formally disputed with the bank?   Yes ○   No ○

2. Did the transaction amount exceed the micro purchase limit?   Yes ○   No ○

3. Was this a split purchase?   Yes ○   No ○

4. Did the item/service exceed minimum needs?   Yes ○   No ○

5. Was the item/service for personal use?   Yes ○   No ○

6. Was the item a prohibited item?   Yes ○   No ○

7. Was this item subject to mandatory sourcing?   Yes ○   No ○   N/A ○

8. Was Green Procurement considered ?   Yes ○   No ○

9. Was there adequate source documentation?   Yes ○   No ○

Case Disposition

Case Disposition	Notes
Select ▼	

[Save]   [Cancel]

The A/BO begins the dispositioning process on this screen. An entry must be made for "Describe Product or Service Acquired". Convenience check question is autopopulated based on the transaction type. One must enter whether or not the card has been lost or stolen and whether or not the transaction is a contract
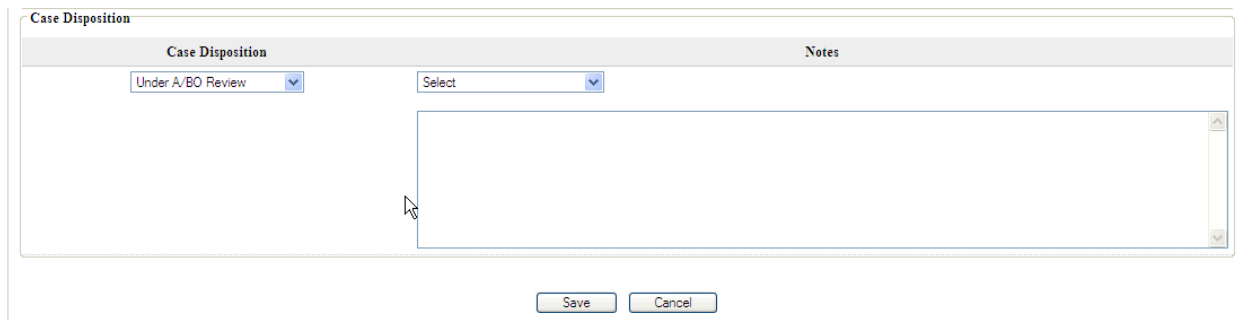
payment. If contract payment is selected, enter contract information is the dialog box next to the question.

The interview questions (Numbered 1-9) are displayed within the Case Review frame. These questions are answered "Yes" or "No" by selecting the radio buttons. If a question doesn't pertain to the transaction being reviewed, there is an N/A option. Every question must have an answer. Note that a yes or no response may trigger additional questions in a drop-down menu displayed to the right of the question. For example, answering "Yes" to "Was there adequate source documentation?" triggers a list of documentation types that the user selects from. Multiple selections are made by holding down the "Ctrl" key. For a complete description of the interview questions, please see the DM/RA User Manual.
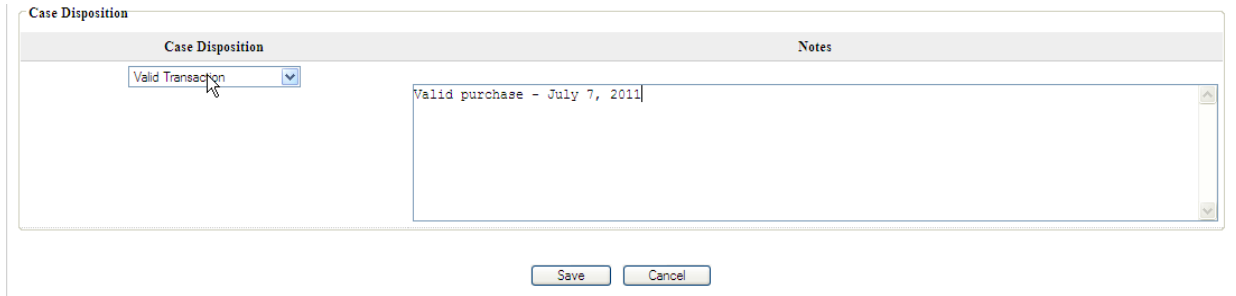
8. Case Disposition

Once the interview questions have been completed, one can disposition (close) the case. This action is accomplished by selecting an appropriate disposition from the Case Disposition menu that is displayed in the Case Disposition frame.

Hint: When first using DM/RA it is advised to immediately put a flagged transaction "Under A/BO Review". Select "Under /ABO Review" and click on the "Save" button. The escalation process takes this disposition into account and will allow more time for the completion of the case.
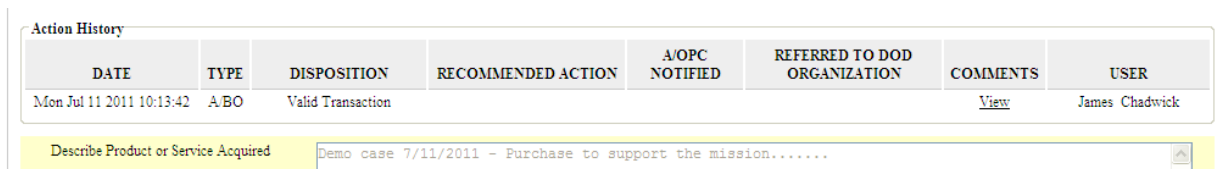
Once all of the interview questions and other pertinent information have been entered, the case is ready to be dispositioned. We do recommend that comments be included as they help in subsequent reviews. In the example below, a Valid Transaction disposition has been selected. For a complete discussion on the other disposition options, please see the DM/RA User Manual.

At this point the case can be closed. Click on the Save button and the case is closed.

Action History is updated to reflect the disposition.

9. A/OPC Independent Review

As mentioned in the Background Section, a high risk transaction any flagged transaction that scores 900 or above. As such, these high risk transactions require an Independent Review (IR). The A/OPC is required to perform the IR.

The A/OPC does receive an email notification stating the requirement of an IR. The link in the email can be used to access the case or the alternate logon instructions in Section 3 can be used. Note that the IR can only be completed after the A/BO has dispositioned the case.

The A/OPC selects their role and clicks on the Closed Cases to display all of the closed cases. The A/OPC identifies the case that requires an IR and clicks the View button to display the case.

The A/OPC clicks on the Independent Review button within the Action History frame. The Independent Review popup dialog window is displayed.

The A/OPC selects the appropriate Case Disposition and adds comments (recommended, but not required).

Then, the A/OPC clicks the Save button.

A popup message displays indicating that the IR has been successfully added.

Action History is updated to reflect that an Independent Review has been completed.